

Please type a plus sign (+) inside this



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|---|--------------------------|------------------|
| Substitute for form 1449A/PTO | | Complete if Known | |
| | | Application Number | 10/519,128 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Filing Date | Not yet assigned |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Group Art Unit | Not yet assigned |
| | | Examiner Name | Not yet assigned |
| | | Attorney Docket Number | UCAL-253US1 |
| Sheet | 1 | of | 6 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------------------|--------------------------|-----------------------|--------------------------------------|---|--|--|
| Examiner Initials ¹ | Cite No. ¹ | U.S. Patent Documents | | Name of Patentee or Applicant of Cited Documents | Date of Publication of Cited Document MM-DD-YYYY | Pages, columns, lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| /qjl/ | | 5,130,141 | | Law, et al. | 07-14-1992 | |
| | | 6,059,726 | | Lee, et al. | 05-09-2000 | |
| | | 6,151,525 | | Soykan, et al. | 11-21-2000 | |
| | | 6,238,429 | | Markowitz, et al. | 05-29-2001 | |
| | | 6,239,117 | | Christ, et al. | 05-29-2001 | |
| | | 2001/0009986 | | Ponzi | 07-26-2001 | |
| | | 2002/0013615 | | Haim, et al. | 01-31-2002 | |
| | | 2002/0031501 | | Law | 03-14-2002 | |
| | | 6,387,369 | | Pittenger, et al. | 05-14-2002 | |
| | | 2002/0061295 | | Field | 05-23-2002 | |
| | | 2002/0061587 | | Anversa | 05-23-2002 | |
| | | 6,271,211 | | Christ et al. | 08-07-2001 | |
| | | 6,415,178 | | Ben-Haim, et al. | 07-02-2002 | |
| | | US 2002/0001577 | | Haverich et al. | 01-03-2002 | |

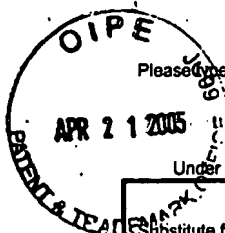
| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|-----------------------------------|--------------------------|--------------------------|---------------------|--------------------------------------|---|--|--|----------------|
| Examiner Initials ¹ | Cite No. ¹ | Foreign Patent Documents | | | Name of Patentee or Applicant of Cited Documents | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ² |
| | | Office ³ | Number ⁴ | Kind Code ⁵ (if known) | | | | |
| | | | WO 96/18303 | | Law | 06-20-1996 | | |
| | | | WO 98/02150 | | Stokes, et al. | 01-22-1998 | | |
| | | | WO 01/68814 | | Field | 09-20-2001 | | |
| | | | WO 03/094855 | | The Regents of the University of California & Rhythm Therapeutics Corp | 11-20-2003 | | |
| | | | WO 03/095016 | | The Regents of the University of California | 11-20-2003 | | |
| | | | WO 2004/050013 | | The Regents of the University of California | 06-17-2004 | | |
| | | | | | | | | |

| | | | |
|-----------------------|-----------------------------|--------------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|-----------------------|-----------------------------|--------------------|--|

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

³Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please use a plus sign (+) inside this



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|---|--------------------------|------------------|
| Substitute for form 1449A/PTO | | Complete If Known | |
| | | Application Number | 10/519,128 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Filing Date | Not yet assigned |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Group Art Unit | Not yet assigned |
| | | Examiner Name | Not yet assigned |
| | | Attorney Docket Number | UCAL-253US1 |
| Sheet | 2 | of | 6 |

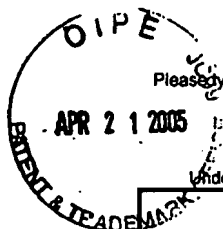
| OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS | | | |
|---|-----------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| /qjl/ | | American Heart Association. "2001 Heart and Stroke Statistical Update", Dallas, TX: American Heart Association, 1999. | |
| | | ATKINS, et al. "Cellular cardiomyoplasty improves diastolic properties of injured heart", <i>J. Surg. Res.</i> , (1999) Vol. 85: 234-242. | |
| | | ATKINS, et. al. "Myogenic cell transplantation improves <i>in vivo</i> regional performance in infarcted rabbit myocardium" <i>Cardiac and Vascular Regeneration</i> , (2000) Vol. 1: 43-53. | |
| | | ATKINS, et al. Cardiomyoplasty improves diastolic function in a rabbit model of myocardial injury", <i>Circulation</i> , (1998) Vol. 98: Supplement 1: 1227. | |
| | | ATKINS, et. al. "Intracardiac transplantation of skeletal myoblasts yields two populations of striated cells <i>in situ</i> ", <i>Ann Thorac Surg</i> , (1999) Vol. 67: 124-129. | |
| | | ATKINS, et al. "Differential effects of cellular cardiomyoplasty on systolic and diastolic performance in cryoinjured rabbit heart", <i>J Heart Lung Transpl.</i> , (1999) Vol. 18: 43. | |
| | | ATKINS, et al. "Transplanted autologous skeletal myoblasts improve myocardial performance after coronary artery ligation", <i>Cardiac and Vascular Regeneration</i> , (2000) Vol. 1: 76-84. | |
| | | BALOGH, et al. "Expression of gap junction in cultured rat L6 cells during myogenesis", <i>Developmental Biology</i> , (1993) Vol. 155: 351-360. | |
| | | BLAU. "Muscling in on gene therapy", <i>Nature</i> , (1993) Vol. 364: 673-675. | |
| | | BLAU, et al. "Myoblasts in pattern formation and gene therapy", <i>Trends in Genetics</i> , (1993) Vol. 9(8): 269-274. | |
| | | BRITTBERG, et al. "Treatment of deep cartilage defects in the knee with autologous chondrocyte transplantation", <i>The New England J of Med.</i> , (1994) Vol. 331: 889-895. | |
| | | Chachques, et al., "Cellular Therapy Reverses Myocardial Dysfunction" 1st Virtual Congress of Cardiology. The American Association of Thoracic Surgery (Abst) 2000:202 | |
| | | CHIU. "Cardiac cell transplantation: The autologous skeletal myoblast implantation for myocardial regeneration", <i>Adv Card Surg</i> , (1999) Vol. 11: 69-98. | |
| | | CHIU, et al. "Cellular cardiomyoplasty: Myocardial regeneration with satellite cell implantation", <i>Ann Thorac Surg</i> , (1995) Vol. 60: 12-18. | |
| | | DAHL, et al. "Expression of gap junction genes, connexin40 and connexin43, during fetal mouse development", <i>Anat. Embryol.</i> , (1995) Vol. 191: 267-278. | |
| | | DAI, et al. "Gene therapy via primary myoblasts: Long-term expression of factor IX protein following transplantation <i>in vivo</i> ", <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 89: 10892-10895. | |

| | | | |
|--------------------|-----------------------------|-----------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|--------------------|-----------------------------|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|---|--------------------------|------------------|
| Substitute for form 1449A/PTO | | Complete if Known | |
| | | Application Number | 10/519,128 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Filing Date | Not yet assigned |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Group Art Unit | Not yet assigned |
| | | Examiner Name | Not yet assigned |
| | | Attorney Docket Number | UCAL-253US1 |
| Sheet | 3 | of | 6 |

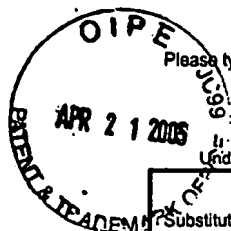
| | |
|-------|---|
| /qjl/ | Davis, et al., "Modulation of connexin43 expression: effects on cellular coupling", <i>Journal of Cardiovascular Electrophysiology</i> , 1995, vol. 6, no. 2, pgs 103-114 . |
| | DHAWAN, et al. "Systemic delivery of human growth hormone by injection of genetically engineered myoblasts", <i>Science</i> , (1991) Vol. 254: 1509-1512; |
| | DOROZYNSKI. "Transplanted cells revive heart muscle", <i>British Medical Journal</i> , (2000) Vol. 321(Issue 7268): 1040-1041. |
| | EL OAKLEY, et al. "Myocyte transplantation for myocardial repair: A few good cells can mend a broken heart", <i>Ann Thorac Surg.</i> (2001) Vol. 71(5): 1724-1733. |
| | First ever transplantation of skeletal muscle cells to test whether the cells can repair damaged heart muscle. PR Newswire 9/25/00. http://www.prnewswire.com/cgi-bin/stories.pl?ACCT=104&STORY=/www/story/09-25-2000/0001321663&EDATE= |
| | Field, et al., "Electrophysiological Modulation of Cardiomyocytic Tissue by Transfected Fibroblasts Expressing Potassium Channels" <i>Circulation</i> . 105:522-529 (2002) |
| /qjl/ | GAGE, et al. "Genetically modified cells: Applications for intracerebral grafting", <i>Trends in Neuroscience</i> , (1991) Vol. 14(8): 328-333. |
| | GenBank Accession No. AA511201 |
| | GenBank Accession No. AA530689 |
| | GenBank Accession No. AA822279 |
| | GenBank Accession No. AA855990 |
| | GenBank Accession No. AF151980 |
| | GenBank Accession No. AH003191 |
| | GenBank Accession No. M61896 |
| | GenBank Accession No. M65188 |
| | GenBank Accession No. N86403 |
| | GenBank Accession No. NM 000165 |
| | GenBank Accession No. NM 010288 |
| | GenBank Accession No. NM 012567 |
| | GenBank Accession No. X61576 |
| | GenBank Accession No. X62836 |
| /qjl/ | GUSSONI, et al. "Normal dystrophin transcripts detected in Duchenne muscular dystrophy patients after myoblast transplantation", <i>Nature</i> , (1992) Vol. 356: 435-438. |
| | HUSTEN. "Global epidemic of cardiovascular disease predicted", <i>Lancet</i> , (1998) Vol. 352: 1530. |
| | JANUS, et al. "The modernization of Asia: Implications for coronary heart disease", <i>Circulation</i> , (1996) Vol. 94: 2671-2673. |
| | KAO, et al. "Satellite cell transplantation to repair injured myocardium", <i>Cardiac and Vascular Regeneration</i> , (2000) Vol. 1: 31-42. |

| | | | |
|--------------------|-----------------------------|-----------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|--------------------|-----------------------------|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|---|--------------------------|------------------|
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Complete If Known | |
| | | Application Number | 10/519,128 |
| | | Filing Date | Not yet assigned |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Group Art Unit | Not yet assigned |
| | | Examiner Name | Not yet assigned |
| | | Attorney Docket Number | UCAL-253US1 |
| Sheet | 4 | of | 6 |

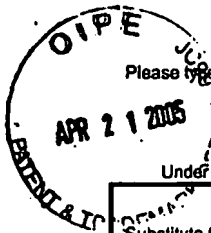
| | |
|-------|---|
| /qjl/ | KESSLER, et al. "Myoblast cell grafting into heart muscle: Cellular biology and potential applications", <i>Annu Rev Physiol</i> , (1999) Vol. 61: 219-242. |
| | KNUDSEN, et al. "A role for the Ca ²⁺ -dependent adhesion molecule, N-cadherin, in myoblast interaction during myogenesis", <i>Exp. Cell Res.</i> , (1990) Vol. 188: 175-184. |
| | KOUTOUZIS, et al. "Cell transplantation for central nervous system disorders", <i>Critical Reviews in Neurobio.</i> , (1994) Vol. 8(3): 125-162. |
| | KHURANA et al. Gene Therapy For Cardiovascular Disease. A Case for Cautious Optimis. <i>Hypertension</i> 2001, Vol. 38, pages 1210-1216 |
| | LAW, et al. "Cell transplantation as an experimental treatment for Duchenne muscular dystrophy", <i>Transplantation</i> , (1993) Vol. 2: 485-505. |
| | LEE, et al. "Coupling requirements for successful impulse propagation with skeletal myocytes transplanted in myocardium", <i>Annals of Biomedical Engineering</i> ; (2000) Vol. 28(Supp 1): S54: T6.10. |
| | Long, et al., "The Cardiac Fibroblast, Another Therapeutic target for Mending the Broken Heart" <i>J. Mol Cell Cardiol.</i> 34: 1273-1278 (2002). |
| | MACCALMAN, et al. "Noncoordinate developmental regulation of N-cadherin, N-CAM, integrin, and fibronectin mRNA levels during myoblast terminal differentiation", <i>Developmental Dynamics</i> , (1992) Vol. 195: 127-132. |
| | MARELLI, et al. "Satellite cell implantation for neomyocardial regeneration", <i>Transplantation Proceedings</i> , (1992) Vol. 24(6): 2995. |
| | MENASCHÉ, et al. "Myoblast transplantation for heart failure", <i>Lancet</i> , (2001) Vol. 357: 279-280. |
| | MURRAY, et al. "Skeletal myoblast transplantation for repair of myocardial necrosis", <i>J Clin Invest</i> , (1996) Vol. 98(11): 2512-2523. |
| | Murry, et al., "Muscle Cell Grafting for the Treatment and Prevention of Heart Failure" <i>J. of Cardiac Failure</i> Vol. 8 n0.6 Suppl (2002) |
| | MYERBURG, et al. "Sudden cardiac death: Structure, function, and time-dependence of risk", <i>Circulation</i> , (1992) Vol. 85(1): 12-110. |
| | NICHOLAS et al., "Immunocytochemical Analysis of Connexin Expression in the Healthy and Diseased Cardiovascular System", <i>Microscopy Res. Technique</i> , 2001, Vol. 52, pages 301-322 |
| | ORLIC, et al. "Bone marrow cells regenerate infarcted myocardium", <i>Nature</i> , (2001) Vol. 410: 701-705. |
| | PESCHANSKI, et al. "Bilateral motor improvement and alteration of L-dopa effect in two patients with Parkinson's disease following intrastriatal transplantation of foetal ventral mesencephalon", <i>Brain</i> , (1994) Vol. 117: 487-499. |
| | PFEFFER, et al. "Effect of captopril on progressive ventricular dilatation after anterior myocardial infarction", <i>New England J. of Med.</i> , (1988) Vol. 319: 80-86. |

| | | | |
|--------------------|-----------------------------|-----------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|--------------------|-----------------------------|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|---|--------------------------|------------------|
| Substitute for form 1448A/PTO | | Complete if Known | |
| | | Application Number | 10/519,128 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Filing Date | Not yet assigned |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Group Art Unit | Not yet assigned |
| | | Examiner Name | Not yet assigned |
| | | Attorney Docket Number | UCAL-253US1 |
| Sheet | 5 | of | 6 |

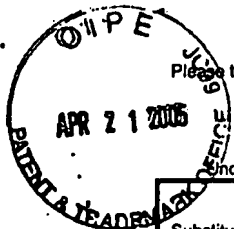
| | |
|-------|---|
| /qjl/ | RAJNOCH, et al. "Cellular therapy reverses myocardial dysfunction", <i>J. Thoracic Cardiovascular Surgery</i> , (2001) Vol. 121(5): 871-878. |
| | REINECKE, et al. "Electromechanical coupling between skeletal and cardiac muscle: Implications for infarct repair", <i>J. Cell Biol.</i> , (2000) Vol. 149(3): 731-740. |
| | REINECKE, et al. "Transmural replacement of myocardium after skeletal myoblast grafting into the heart: Too much of a good thing?" <i>Cardiovasc Pathol.</i> , (2000) Vol. 9(6): 337-344. |
| | ROBINSON, et al. "Arterial delivery of genetically labeled skeletal myoblasts to the murine heart: Long-term survival and phenotypic modification of implanted myoblasts", <i>Cell Transplantation</i> , (1996) Vol. 5(1): 77-91. |
| | Suzuki et al, "Overexpression of connexin 43 in skeletal myoblasts: relevance to cell transplantation to the heart", <i>The Journal of Thoracic and Cardiovascular Surgery</i> , 2001, vol. 122, no. 4, pgs. 759-766 |
| | SCORSIN, et al. "Comparison of the effects of fetal cardiomyocyte and skeletal myoblast transplantation on postinfarction left ventricular function", <i>J Thoracic Cardiovascular Surgery</i> , (2000) Vol. 119: 1169-1175. |
| | SOONPA, et al. "Formation of nascent intercalated disks between grafted fetal cardiomyocytes and host myocardium", <i>Science</i> , (1994) Vol. 264: 98-101. |
| | SPRINGER, et al. "VEGF gene delivery to muscle: Potential role for vasculogenesis in adults", <i>Molecular Cell.</i> , (1998) Vol. 2: 549-558. |
| | SPRINGER, et al. "High-efficiency retroviral infection of primary myoblasts", <i>Cell Mol. Genet.</i> , (1997) Vol. 23 (3): 203-209. |
| | SUZUKI, et al. "Overexpression of connexin 43 in skeletal myoblasts: Relevance to cell transplantation to the heart", <i>J. Thoracic and Cardiovascular Surgery</i> , (2001) Vol. 122(4): 759-766. |
| | TAM, et al. "Molecular cardiomyoplasty: Potential cardiac gene therapy for chronic heart failure", <i>J. of Thoracic and Cardiovascular Surgery</i> , (1995): Vol. 109(5): 918-924. |
| | TAYLOR, et al. "Regenerating functional myocardium: Improved performance after skeletal myoblast transplantation", <i>Nature Medicine</i> , (1998) Vol. 4(8): 929-933. |
| | TAYLOR, et al. "Delivery of primary autologous skeletal myoblasts into rabbit heart by coronary infusion: A potential approach to myocardial repair", <i>Proceedings of the Association of American Physicians</i> , (1997) Vol. 109:245-253. |
| | TREMBLAY, et al. "Results of a triple blind clinical study of myoblast transplantations without immunosuppressive treatment in young boys with Duchenne muscular dystrophy", <i>Cell Transplantation</i> , (1993) Vol. 2: 99-112. |
| | VERHEULE, et al. "Characterization of gap junction channels in adult rabbit atrial and ventricular myocardium", <i>Cir. Res.</i> , (1997) Vol. 80: 673-681. |

| | | | |
|--------------------|-----------------------------|-----------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|--------------------|-----------------------------|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|---|--------------------------|------------------|
| Substitute for form 1449A/PTO | | Complete if Known | |
| | | Application Number | 10/519,128 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Filing Date | Not yet assigned |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Group Art Unit | Not yet assigned |
| | | Examiner Name | Not yet assigned |
| | | Attorney Docket Number | UCAL-253US1 |
| Sheet | 6 | of | 6 |

| | | | |
|--|--|--|--|
| | | WEISEL, et al. "Cell transplantation comes of age", <i>J Thoracic Cardiovascular Surgery</i> , (2001) Vol. 121(5): 835-836. | |
| | | YANG et al. VEGF Enhances Functional Improvement of Postinfarcted Hearts By Transplantation of ESC-Differentiated Cells. <i>J. Appl. Physiol.</i> 2002, Vol. 93, pages 1140-1151 | |
| | | ZWIEBEL, et al. "Drug delivery by genetically engineered cell implants", <i>Annals of the New York Academy of Sciences</i> , (1991) Vol. 618: 394-404. | |

| | | | |
|-----------------------|-----------------------------|--------------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|-----------------------|-----------------------------|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|------------------------|--------------------------|------------------|
| Substitute for form 1449A PTO | | Complete If Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Application Number | 10/519,128 |
| | | Filing Date | July 20, 2005 |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Art Unit | 1614 |
| | | Examiner Name | Not yet assigned |
| Sheet 1 of 1 | Attorney Docket Number | UCSF-253US1 | |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|-----------------------|---|--------------------------------|---|---|
| Examiner Initials* | Cite No. ¹ | Document Number Number-Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| /qjl/ | | US- 2003/0104568 | 06/05/2003 | Randall Lee | |
| | | US- | | | |
| | | US- | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|-----------------------|--|--------------------------------|---|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ² -Number ³ -Kind Code ⁴ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁵ |
| /qjl/ | | WO 03/094697 A3 | 11/20/03 | The Regents of the Univ. of California | | |
| | | | | | | |
| | | | | | | |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| /qjl/ | | PAPADIKI, ET AL. Tissue engineering of functional cardiac muscle: molecular, structural, and electrophysiological studies. Am J. Physiol Heart Circ Physiol, 2001, 280: H166-H178 | |
| /qjl/ | | TENBROEK, ET AL. Ser364 of connexin43 and the upregulation of gap junction assembly by cAMP. The Journal of Cell Biology, 2001, Vol. 155, No. 7, 1307-1318. | |
| | | | |

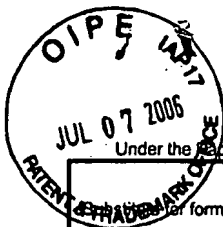
| | | | |
|--------------------|-----------------------------|-----------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|--------------------|-----------------------------|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PTO/SB/08a (08-03)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|------------------------|--------------------------|------------------|
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Complete If Known | |
| | | Application Number | 10/519,128 |
| | | Filing Date | July 20, 2005 |
| | | First Named Inventor | LEE, RANDALL J. |
| | | Art Unit | 1614 |
| | | Examiner Name | Not yet assigned |
| Sheet 1 of 1 | Attorney Docket Number | UCSF-253US1 | |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number-Kind Code ² (if known) | | | |
| | | US-2000/0104500 | 09/08/2000 | Lee | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|--------------------------|---|--------------------------------|--|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ³ |
| | | Country Code ² -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| /qjl/ | | WO 02/33111 | 04/25/2002 | Technion R & D | | |
| /qjl/ | | WO 03/039344 | 05/15/2003 | The Regents of the University of California | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|--------------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | | | |
| /qjl/ | | REINECKE H. ET AL. Gene Transfer of Connexin 43 into Skeletal Muscle, Human Gene Therapy, July 2004, 627-636, Volume 15 (7). | |
| | | | |

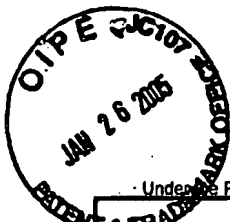
| | | | |
|-----------------------|-----------------------------|--------------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|-----------------------|-----------------------------|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PTO/SB/08a (08-03)

Applicable for use through 07/31/2008. OMB 0851-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|--|---|--------------------------|------------------|------------------------|-------------|
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(fill in as many checks as are necessary)</i> | | Complete if Known | | | |
| | | Application Number | 10/519,128 | | |
| | | Filing Date | Not yet assigned | | |
| | | First Named Inventor | LEE, RANDALL J. | | |
| | | Art Unit | Not yet assigned | | |
| | | Examiner Name | Not yet assigned | | |
| Sheet | 1 | of | 1 | Attorney Docket Number | UCAL-263US1 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|--------------------------|--|--|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number-Kind Code ² (if known) | | | | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | |
|--------------------------|--------------------------|---------------------------|--|--------------------------------|---|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ³ |
| | | Country Code ² | Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | | | WO 03/095016 | 11/20/2003 | The Regents of the University of CA | | |
| | | | WO 03/094856 | 11/20/2003 | The Regents of the University of CA & Rhythm Therapeutic Corp | | |
| | | | WO 2004/050013 | 06/17/2004 | The Regents of the University of CA | | |
| | | | | | | | |
| | | | | | | | |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|--------------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | | | |
| | | | |
| | | | |

| | | | |
|-----------------------|-----------------------------|--------------------|--|
| Examiner Signature | /Q. Janice Li/ (04/19/2007) | Date Considered | |
|-----------------------|-----------------------------|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.